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| FORM PTO-1390<br>(REV 12-2004)  |   | ATTORNEY DOCKET NUMBER<br>4126-4025                                      |
| TRANSMITTAL LETTER TO THE UNITED STATES<br>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br>CONCERNING A SUBMISSION UNDER 35 U.S.C. 371  |   | U.S. APPLICATION NO. (If known, see 37 CFR 1.51)<br>tba <b>10/524152</b> |
| INTERNATIONAL APPLICATION<br>PCT/GB2003/003538  | INTERNATIONAL FILING DATE<br>13 August 2003 | PRIORITY DATE CLAIMED<br>13 August 2002                                  |
| TITLE OF INVENTION<br>Sequences From An Endosymbiont And Their Uses   |   |  |
| APPLICANT(S) FOR DO/EO/US<br>Beatriz Perez Esteban, Tomas Aparicio Perez, Ana Velasco Iglesias, Ruben Henriquez Pelaez, Rosario Munoz Moreno, Claire Moss, and Douglas McKenzie   |   |  |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |   |  |
| <p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input checked="" type="checkbox"/> The US has been elected. (Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))           <ul style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ul> </p> <p>6. <input checked="" type="checkbox"/> An English language translation of the International application as filed (35 U.S.C. 371(c)(2)).           <ul style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto- International application as filed is in English.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ul> </p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ul> </p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)) – unexecuted.</p> <p>10. <input type="checkbox"/> An English translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> |   |  |
| Items 11 to 20 below concern document(s) or information included:   |   |  |
| <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A preliminary amendment.</p> <p>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</p> <p>17. <input checked="" type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13<sup>ter</sup>.2 and 37 C.F.R. 1.821-1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input checked="" type="checkbox"/> Other items or Information:</p>  |   |  |
| PCT/RO/101 (Request), PCT/IPEA/401 (Demand), PCT/IB/308, PCT/ISA/220, PCT/ISA/210, PCT/IPEA/408, PCT/IPEA/416, PCT/IPEA/409   |   |  |

|  |              |   |            |                                    |    |
|--|--------------|---|------------|------------------------------------|----|
| U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.51)<br>tba <b>10/524152</b>  |              | INTERNATIONAL APPLICATION NO.<br>PCT/GB2003/003538                            |            | ATTORNEY'S DOCKET NO.<br>4126-4025 |    |
| 21. The following fees are submitted:  |              |   |            |                                    |    |
| <input checked="" type="checkbox"/> a) Basic national fee  |              | \$300.00  |            | \$ 300                             |    |
| <input checked="" type="checkbox"/> b) Examination fee   |              | \$200.00  |            | \$ 200                             |    |
| <input checked="" type="checkbox"/> c) Search fee  |              | \$500.00  |            | \$ 500                             |    |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |              | <b>\$1,000.00</b>   |            | <b>\$ 1000</b>                     |    |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.   |              |   |            |                                    |    |
| Total Sheets   | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE       | \$                                 |    |
| - 100 =  | /50 =        |   | x \$250.00 | \$                                 |    |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).   |              |   |            |                                    |    |
| CLAIMS   | NUMBER FILED | NUMBER EXTRA  | RATE       | \$                                 |    |
| Total claims   | 24 - 20 =    | 4   | x \$50.00  | \$200                              |    |
| Independent claims   | 1 - 3 =      | 0   | x \$200.00 | \$                                 |    |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)  |              |   | + \$360.00 | \$360                              |    |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |              | <b>\$1560</b>   |            |                                    |    |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.   |              |   |            |                                    |    |
| <b>SUBTOTAL =</b> \$   |              |   |            |                                    |    |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)). + \$   |              |   |            |                                    |    |
| <b>TOTAL NATIONAL FEE =</b> \$1560   |              |   |            |                                    |    |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + \$  |              |   |            |                                    |    |
| <b>TOTAL FEES ENCLOSED =</b> \$1560  |              |   |            |                                    |    |
|  |              |   |            | Amount to be refunded:             | \$ |
|  |              |   |            | Amount to be charged:              | \$ |
| <p>a. <input checked="" type="checkbox"/> A check in the amount of \$1560 to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. <u>13-4500</u> in the amount of \$_____ to cover the above fees.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>13-4500</u> Order 4126-4025. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.</p> |              |   |            |                                    |    |
| NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.   |              |   |            |                                    |    |
| SEND ALL CORRESPONDENCE TO:  |              |   |            |                                    |    |
| <p><b>Enter Address Here</b><br/>           Kenneth H. Sonnenfeld<br/>           MORGAN &amp; FINNEGAN, L.L.P.<br/>           3 World Financial Center<br/>           New York, NY 10281-2101</p>  |              |   |            |                                    |    |
| <br>Signature _____<br>Kenneth H. Sonnenfeld / Michael A. Willis<br>Name _____  |              |   |            |                                    |    |
| 33.285 / 53.913<br>REGISTRATION NUMBER   |              |   |            |                                    |    |

01/524152

Docket No. 4126-4025

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Beatriz Perez Esteban et al.

Group Art Unit: tba

Serial No.: tba

Examiner: tba

Filed: February 11, 2005 (herewith)

For: SEQUENCES FROM AN ENDOSYMBIONT AND THEIR USES

**EXPRESS MAIL CERTIFICATE**

Mail Stop PCT  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Express Mail Label No.: EV 460 047 893

Date of Deposit: February 11, 2005

I hereby certify that the following attached paper(s) and/or fee

1. Form PTO-1390: Transmittal Letter Concerning a Submission Under 35 USC 371 (2 pages + duplicate)
2. Inventor's Declaration- unexecuted (5 pages)
3. Sequence Listing (5 pages), computer-readable disk with Sequence Listing, and Statement Under 37 CFR 1.821(f)-(g) (1 page)
4. Preliminary Amendment (6 pages)
5. Application: 1 page cover sheet for WO 2004/015143 A2; 34 pages Specification; 3 pages claims (claims 1-12); 1 page abstract
6. Copies of PCT/RO/101 (Request), PCT/IPEA/401 (Demand), PCT/IB/308, PCT/ISA/220, PCT/ISA/210, PCT/IPEA/408, PCT/IPEA/416, PCT/IPEA/409
7. check for \$1,560
8. return postcard

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Michael A. Willis

(Typed or printed name of person mailing papers(s) and/or fee)



(Signature of person mailing paper(s) and/or fee)

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